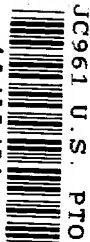


12/20/01



JC961 U.S. PTO

12-27-01

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Please type a plus sign (+) inside this box → ☐Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| | | |
|---|--|-----------------------------------|
| UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b)) | | Attorney Docket No. V637-01520 US |
| First Inventor or Application Identifier | | Ralph H. Johnson |
| Title | VERTICAL CAVITY SURFACE EMITTING LASER INCLUDING INDIUM IN THE ACTIVE REGION | |
| Express Mail Label No. | EL597435783US | |


| | |
|--|---|
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents. | ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231 |
| 1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing) | 5. <input type="checkbox"/> Microfiche Computer Program (Appendix) |
| 2. <input checked="" type="checkbox"/> Specification [Total Pages 24] (preferred arrangement set forth below) <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R & D- Reference to Microfiche Appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure | 6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none">a. <input type="checkbox"/> Computer Readable Copyb. <input type="checkbox"/> Paper Copy (identical to computer copy)c. <input type="checkbox"/> Statement verifying identity of above copies |
| 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 22] | ACCOMPANYING APPLICATION PARTS |
| 4. Oath or Declaration [Total Pages 2] <ul style="list-style-type: none">a. <input checked="" type="checkbox"/> Newly executed (original or copy)b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)<ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). | 7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) |
| * NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28). | 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney |
| | 9. <input type="checkbox"/> English Translation Document (if applicable) |
| | 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations |
| | 11. <input type="checkbox"/> Preliminary Amendment |
| | 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) |
| | 13. <input type="checkbox"/> * Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired (PTO/SB/09-12) |
| | 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) |
| | 15. <input checked="" type="checkbox"/> Other: Certificate of Mailing |

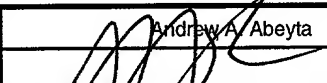
16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____

Prior application information: Examiner _____ Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

| | | | | | |
|--|--|-----------|--------------|----------|--------------|
| 17. CORRESPONDENCE ADDRESS | | | | | |
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label  or <input checked="" type="checkbox"/> Correspondence address below (Insert Customer No. or Attach Bar code label here) | | | | | |
| Name | Andrew A. Abeyta | | | | |
| | Honeywell International Inc. PATENT TRADEMARK OFFICE | | | | |
| Address | 101 Columbia Road | | | | |
| | POB 2245 | | | | |
| City | Morristown | State | NJ | Zip Code | 07962 |
| Country | U.S.A. | Telephone | 602-313-3345 | Fax | 602-313-4559 |

| | | | |
|-------------------|---|-----------------------------------|----------|
| Name (Print/Type) | Andrew A. Abeyta | Registration No. (Attorney/Agent) | 39,582 |
| Signature |  | Date | 12/20/01 |

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55020/01

12/20/01

Dec. 20, 2001

This form is a **Replica of PTO/SB/17 (01/01)**

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**FEE TRANSMITTAL
For FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$780.00**COMPLETE IF KNOWN**

| | |
|----------------------|-------------------|
| Application No. | T.B.D. |
| Filing Date | December 20, 2001 |
| First Named Inventor | Ralph H. Johnson |
| Group Art Unit | T.B.D. |
| Examiner Name | T.B.D. |
| Attorney Docket No. | V637-01520 US |

METHOD OF PAYMENT (check one)1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:Deposit Account Number 01-1125Deposit Account Name Honeywell International Inc.☒ Charge any Additional Fee Required Under 37 CFR §§1.16 & 1.172. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|---------------------|--------|--------------|--------|------------------------|-----------------|
| Fee Code | Fee \$ | Fee Code | Fee \$ | | |
| 101 | 740 | 201 | 370 | Utility Filing Fee | 740 |
| 106 | 330 | 206 | 165 | Design Filing Fee | |
| 107 | 510 | 207 | 255 | Plant Filing Fee | |
| 108 | 740 | 208 | 370 | Reissue Filing Fee | |
| 114 | 160 | 214 | 80 | Provisional Filing Fee | |
| SUBTOTAL (1) | | | | | \$740.00 |

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|----------------------------|--------------|----------------|----------|
| 6 - 20 = | - 0 - | 18.00 | - 0 - |
| Independent Claims 3 - 3 = | - 0 - | 84.00 | - 0 - |
| Multiple Dependent Claims | - 0 - | 280.00 | - 0 - |

| Large Entity | | Small Entity | | Fee Description |
|--------------|--------|--------------|--------|---|
| Fee Code | Fee \$ | Fee Code | Fee \$ | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claim |
| 109 | 84 | 209 | 42 | Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$ - 0 -**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|--------|--------------|--------|--|----------|
| Fee Code | Fee \$ | Fee Code | Fee \$ | | |
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,250 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,150 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Statement | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | 40 |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 179 | 740 | 279 | 3370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |
| 195 | 300 | 195 | 300 | Publication fee | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$40.00**SUBMITTED BY**Name (Print / Type) Andrew A. AbeysaRegistration No. 39,582
(Attorney/Agent)Signature **Complete (if applicable)**Telephone 602-313-3345Date December 20, 2001**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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Docket No. V637 01520 US
Serial No. t. b. d.
Filed December 20, 2001

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POB 2327
Arlington, VA 22202

on December 20, 2001
(Date)



Signature

Tessa Ricar

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Utility Patent Application Transmittal;
2. Fee Transmittal for FY 2001, two copies;
3. Patent Application, twenty-four pages;
4. Formal drawings, twenty-two pages;
5. Declaration for Utility or Design Patent Application, two pages;
6. Recordation Form Cover Sheet, two pages;
7. Assignment, one page;
8. Certificate of Mailing;
9. Return post card.

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